

US Department of Commerce  
Patent and Trademark Office

Form PTO-1449 (Modified)

Atty. Docket No.:

002821.P001X

Application No.:

Not Yet Assigned

Applicant:

Jones et al

Filing Date:

Concurrently Herewith

15525 U.S. P.  
09/495982

02/01/00

US Patent Documents

Examiner's Initials	Date	Document Number	Name	Class	Sub- Class	Filing Date
<i>JD</i>	08/24/82	4,346,442	Musmanno			
<i>JD</i>	03/15/83	4,376,978	Musmanno			
<i>JD</i>	06/24/86	4,597,046	Musmanno et al.			
<i>JD</i>	02/10/87	4,642,767	Lerner			
<i>JD</i>	03/31/92	5,101,353	Lupien et al	364	408	05/31/89
<i>JD</i>	06/30/92	5,126,936	Champion et al	364	408	09/01/89
<i>JD</i>	06/21/92	5,132,899	Fox	364	408	10/16/89
<i>JD</i>	09/15/92	5,148,365	Dembo	364	402	08/13/89
<i>JD</i>	06/22/93	5,222,019	Yoshino et al	364	408	10/03/91
<i>JD</i>	07/13/93	5,227,967	Bailey	364	408	03/20/89
<i>JD</i>	08/17/93	5,237,500	Perg et al	364	408	02/27/90
<i>JD</i>	11/28/95	5,471,575	Glansante	395	144	01/03/92
<i>JD</i>	10/08/96	5,563,783	Stolfo et al	364	408	04/04/95
<i>JD</i>	11/25/97	5,692,233	Garman	705	36	02/03/95
<i>JD</i>	07/01/98	5,784,696	Melnikoff	705	36	06/06/95
<i>JD</i>	11/24/98	5,839,804	Ho	312	223.2	06/22/97
<i>JD</i>	01/26/99	5,864,827	Wilson	705	35	06/27/97
<i>JD</i>	01/26/99	5,864,828	Atkins	705	36	08/27/91
<i>JD</i>	02/23/99	5,875,437	Atkins	705	40	04/15/97
<i>JD</i>	03/16/99	5,884,285	Atkins	705	36	01/16/92
<i>JD</i>	06/08/99	5,911,135	Atkins	705	36	04/16/91
<i>JD</i>	06/29/99	5,918,217	Maggioncalda et al.	705	36	12/10/97
<i>JD</i>	06/08/99	5,911,136	Atkins	705	36	03/26/97
<i>JD</i>	06/08/82	4,334,270	Towers			
<i>JD</i>	02/08/77	4,007,355	Moreno			
<i>JD</i>	10/10/72	3,697,693	Deschenes et al.			
<i>JD</i>	01/11/71	3,634,669	Soumas et al.			
<i>JD</i>	07/01/97	5,644,727	Atkins			
<i>JD</i>	01/26/88	4,722,055	Roberts			
<i>JD</i>	05/03/88	4,742,457	Leon et al.			
<i>JD</i>	06/21/88	4,752,877	Roberts et al.			
<i>JD</i>	09/27/88	4,774,663	Musmanno et al.			
<i>JD</i>	09/19/89	4,868,376	Lessin et al.			
<i>JD</i>	10/24/89	4,876,648	Lloyd			
<i>JD</i>	12/05/89	4,885,685	Wolfberg et al.			
<i>JD</i>	06/04/96	5,523,942	Tyler et al.	364	401	03/31/94
<i>JD</i>	06/18/91	5,025,138	Cuervo			
<i>JD</i>	01/07/97	5,592,379	Finfrock et al.	395	239	10/06/94

Examiner

Thomas A. Dyer

Date Considered

8/22/02

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<b>US Department of Commerce</b> <b>Patent and Trademark Office</b>  <b>Form PTO-1449 (Modified)</b>	<b>Atty. Docket No.:</b> 002821.P001X	<b>Application No.:</b> Not Yet Assigned
	<b>Applicant:</b> Jones et al	
	<b>Filing Date:</b> Concurrently Herewith	

**US Patent Documents**

Examiner's Initials	Date	Document Number	Name	Class	Sub-Class	Filing Date
<i>D</i>	03/20/90	4,910,676	Allredge			
<i>D</i>	12/31/96	5,590,037	Ryan et al.			
<i>D</i>	06/12/90	4,933,842	Durbin et al.			
<i>D</i>	01/29/91	4,989,141	Lyons et al.			
<i>D</i>	09/26/95	5,454,104	Steidlmayer et al.			
<i>D</i>	06/15/93	5,220,500	Baird et al.			
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	05/03/88	4,742,457	Leon et al. <i>previous page</i>	364	408	08/27/85
	09/15/92	5,148,365	Dembo <i>previous page</i>	364	402	08/15/89
	07/13/93	5,227,967	Bailey <i>previous page</i>	364	408	03/20/89
	06/04/96	5,523,942	Tyler et al. <i>previous page</i>	364	401	03/31/94
	11/25/97	5,692,233	Garman <i>previous page</i>	705	36	02/03/95
	07/21/98	5,784,696	Melnikoff <i>previous page</i>	705	36	06/06/95

**Foreign Patent Documents**

Examiner's Initials	Date	Document Number	Country	Class	Sub-Class	Translation
<i>D</i>	12/01/93	0 572 281 A1	Europe	G06F	15/30	Yes
<i>D</i>	02/29/96	WO 96/06402	PCT	G06F	17/60	Yes
<i>D</i>	10/08/98	WO 98/44444	PCT	G06F	19/00	Yes
<i>D</i>	04/02/98	WO 98/13776	PCT	G06F	17/60	Yes

**Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)**

<i>D</i>	International Search Report; PCT/US 98/19920
<i>D</i>	International Search Report; PCT/US 98/19951
<i>D</i>	International Search Report; PCT/US 98/19952
<i>D</i>	International Search Report; PCT/US 98/20709
<i>D</i>	Nikolopoulos and Fellrath, "A Hybrid Expert System for Investment Advising", IEEE, 1994, pp. 1818-1820
<i>D</i>	Eggenschwiler and Gamma, "ET++SwapsManager: Using Object Technology in the Financial Engineering Domain", OOPSLA, 1992, pp. 166-177
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<i>D</i>	Paul Lichtman, "Software: The Professional Plan", Lotus, November, 1986, pp. 121 & 140.
<i>D</i>	Daniel P. Wiener, "Software Packages for Investors", Fortune/1987 Investors Guide, pp. 185-188.

Examiner

*Thomas A. Dyer*

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*8/22/02*

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<b>Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
A				Woodwell, "Automating Your Financial Portfolio", Second Edition, 1986.			
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A				Henry Fersko-Weiss, "Dialing for Profits, Managing the Market", Product Review, No Date.			
A				Sharpe et al., "Investments", Fifth Edition, Chapter 8, pp. 193-231, Chapter 11, pp. 293-321, Chapter 23, pp. 827-863, 1995.			
A				Jensen and King, "Frontier: A graphical interface for portfolio optimization in a piecewise linear-quadratic risk framework", IBM Systems Journal, vol. 31, no. 1, 1992, pp.62-70			
A				Schmerken, "Making Risk Analysis Easy As Alpha, Beta", Wall Street Computer Review, 1988, vol.5 #4, pp.8,10,12			
A				Malliaris and Salchenberger, "Beating the Best: A Neural Network Challenges the Black-Scholes Formula", IEEE, 1993, pp.445-449			
A				"1990 Buyer's Guide", Wall Street Computer Review, 1990, 23 pages			
A				Pantazopoulos et al, "A Knowledge Based System for Evaluation of Option Pricing Algorithms", Computer Science Dept., Purdue University, 1998, pp.123-140			
A				Tanaka et al., "Possibility Portfolio Selection", IEEE, 1995, pp.813-818			
A				Bellity, "Optimisation Floue Appliquee Au Choix De Portefeuilles", CCF Recherche & Innovation, 1994, 8 pages			
A				"Asset Allocation - One Step at a Time", Global Investor, March, 1997, 8 pages.			
A				King, "Asymmetric risk measures and tracking models for portfolio optimization under uncertainty", J.C. Baltzer AG, 1993, pp.165-177			
A				"InterFace Institutional Software + Data", Ibbotson Associates, Wall Street Computer Review, 1998, 4 pages			
A				Edessess, Michael et al. "Scenario forecasting: Necessity, not choice." Journal of Portfolio Management, vol. 6 No. 3, pp. 10-15, Sprg 1980.			
A				"Keeping Up With Technology: The 1991 Software Update" Trusts & Estates, pp. 34-67, Jun. 1991.			
A				"Barra Provides Combined Style Analysis and Asset Allocation Capabilities", downloaded from Website <a href="http://www.barra.com">http://www.barra.com</a> , in July of 1998.			
A				"EnCorr Products and Services", downloaded from Website <a href="http://www.ibbotson.com">http://www.ibbotson.com</a> , in July of 1998.			
A				"Net Results TM, Your On-Line Financial Advisor", downloaded from Website <a href="http://www.isnetwork.com">http://www.isnetwork.com</a> , in December of 1997.			
A				Keyes, Jessica. "Expert Allocator: Tools for portfolio optimization." Pension Management, pp. 44-46, May 1996.			
A				Paroush, Jacob. "Risk and wealth effects on efficient portfolio." Metroeconomica, vol. 26, No. 1-3, pp. 86-96, 1974.			
A				Voros, J. "Portfolio analysis--An analytic derivation of the efficient portfolio frontier." European Journal of Operations Research, vol. 23, No. 3, pp. 294-300, Mar. 1986.			
<b>Examiner</b> Thomas A. Jiff				<b>Date Considered</b> 8/22/02			
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	Applicant: Jones et al	
	Filing Date: February 1, 2000	

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Examiner's Initials	Date	Document Number	Name	Class	Sub-Class	Filing Date
<i>DA</i>	07/27/99	5,930,774	Chennault	705	36	01/29/96
<i>DA</i>	08/03/99	5,933,815	Golden	705	35	05/01/95
<i>DA</i>	09/22/98	5,812,987	Luskin et al.	705	36	03/13/95
<i>DA</i>	09/08/98	5,806,049	Petruzzi	705	36	09/30/96
<i>DA</i>	03/16/99	5,884,283	Manos	705	30	09/05/96
<i>DA</i>	04/11/97	5,884,287	Edesess	705	36	04/11/97
<i>DA</i>	12/14/99	6,003,018	Michaud et al.	705	36	09/09/98
<i>DA</i>	10/06/98	5,819,238	Fernholz	705	36	12/13/96
<i>DA</i>	01/25/00	6,018,722	Ray et al.	705	36	06/19/97
<i>DA</i>	01/04/00	6,012,042	Black et al.	705	36	08/16/96
<i>DA</i>	11/16/99	5,987,433	Crapo	705	36	06/03/96
<i>DA</i>	01/04/00	6,012,043	Albright et al.	705	36	09/09/96
<i>DA</i>	03/03/87	4,648,037	Valentino	364	408	03/15/84
<i>DA</i>	07/27/99	5,930,775	McCauley et al.	705	38	01/14/97
<i>DA</i>	11/23/99	5,991,744	DiCresce	705	36	10/31/97
<i>DA</i>	11/16/99	5,987,434	Libman	705	36	06/10/96
<i>DA</i>	06/15/99	5,913,202	Motoyama	705	35	06/13/97
	<del>12/31/96</del>	<del>5,590,037</del>	<del>Ryan et al.</del> <i>copy paper #4</i>	<del>395</del>	<del>204</del>	<del>09/17/93</del>

### Foreign Patent Documents

Examiner's Initials	Date	Document Number	Country	Class	Sub-Class	Translation
<i>DA</i>	02/04/99	WO 99/05625	PCT	G06F	17/60	
<i>DA</i>	12/03/98	WO 98/54666	PCT	G06F	17/60	
<i>DA</i>	04/01/99	WO 99/15985	PCT	G06F	15/30	
<i>DA</i>	05/06/99	WO 99/22323	PCT	G06F	17/60	
<i>DA</i>	02/21/91	WO 91/02326	PCT	G06F	15/24	

Examiner <i>Thomas A. Dyer</i>	Date Considered <i>8/22/02</i>
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Sheet 1 of 2

**Complete if Known**

Application Number	09/495,982
Filing Date	February 1, 2000
First Named Inventor	Christopher L. Jones et al.
Art Unit	3829
Examiner Name	Thomas A. Dixon
Attorney Docket Number	59036-249728

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
D		US 5,553,212	09-03-1996	Etoh	
		US 5,799,287	08-25-1998	Dembo	
		US 5,907,801	05-25-1999	Albert	
		US 5,918,218	06-29-1999	Harris	
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		US 6,021,397	02-01-2000	Jones et al.	
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		US 6,125,355	09-26-2000	Bekaert	
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		Country Code <sup>4</sup> - Number <sup>5</sup> - Kind Code <sup>6</sup> (if known)				
D		JP 04-193658	07-21-92	Hitachi	Considered figures	
		JP 05-081202	08-04-93	OKI Electric Ind.		
		JP 05-177511	06-25-93	Nec Corp.		

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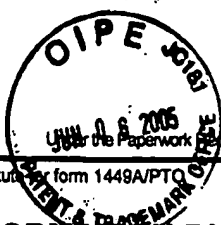
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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T 2
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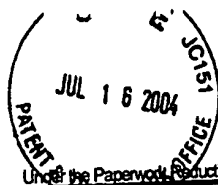
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Christopher L. Jones et al.

**Art Unit**

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**Examiner Name**

**Thomas A. Dixon**

Attorney Docket Number

59036-249728

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		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)					
ID	7	JP-HEI-6-35918		02/10/1994			No
	8	JP-HEI-6-295300		10/21/1994			No
	9	JP-HEI-7-84989		03/31/1995	NEC		No
ID	10	WO01/05793		01/25/2001	PHARMACIA		

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Substitute for form 1449A/PTO

*(use as many sheets as necessary)*

Sheet	2	of	2
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**Complete if Known**

Application Number	09/495,982
Filing Date	February 1, 2000
First Named Inventor	Christopher L. Jones et al.
Group Art Unit	3629
Examiner Name	Thomas A. Dixon
Attorney Docket Number	59038-249728

## OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

[illegible]

**Examiner  
Signature**

Then A  $\leq$

Date  
Considered

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